



SECTION 2. FORMS PTO/SB/08A and 08B (formerly Form PTO-1449)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants: William R. Hambrecht et al. Attorney Docket: 2955/107  
Serial No: 10/632,818 Art Group Unit: ~~3624~~ 3691  
Date Filed: August 4, 2003 Examiner Name: Campen, K.  
Invention: Auction System and Method for Pricing and Allocation During Capital Formation

LIST OF PATENTS AND PUBLICATIONS FOR  
APPLICANT'S SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

RL  
6/3/04

U.S. PATENT DOCUMENTS					
Examiner Initials	Reference Number	Document Number	Issue Date	Inventor	Class/Subclass
/KCI/	EH	US 6,629,081-2 B1	9/30/03	Hambrecht, et al.	<del>703/97</del>

OTHER DOCUMENTS			
Examiner Initials	Reference Number	Author	Title of Article, Title of Journal, Volume Number, Page Numbers, Date
/KCI/	EI	Sarah Stirland	"Wall Street is Rattled by Software That Can Remake Competitive Deals", The Bond Buyer, Aug. 21, 1996, pg. 1
/KCI/	EJ	Fujishima, Yuzo, et al.	"Speeding Up Ascending-Bid Auctions", Stanford University, Stanford, CA, pgs. 1-6
/KCI/	EK	Milgrom, Paul	"Putting Auction Theory to Work: The Simultaneous Ascending Auction", Dept. of Economics, Stanford University, December 8, 1997, revised April 21, 1999, pgs. 1-25
/KCI/	EL		IPO: Robertson, Hambrecht tap into the Net

Examiner Signature: /Kelly Campen/

Date Considered: 7/2007

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation *if not* in conformance and not considered. Include copy of this form with next communication to applicant.